

1/21

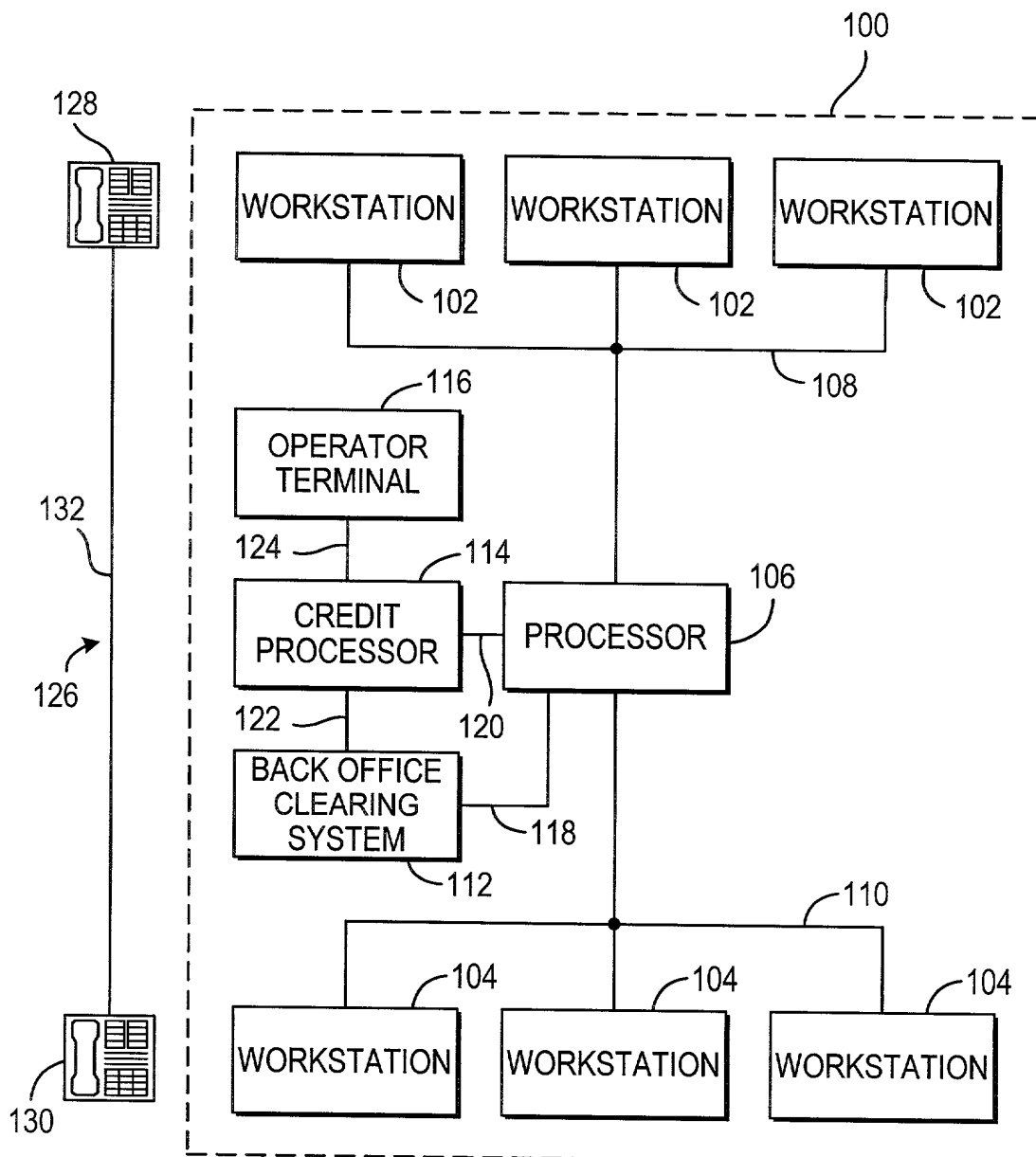
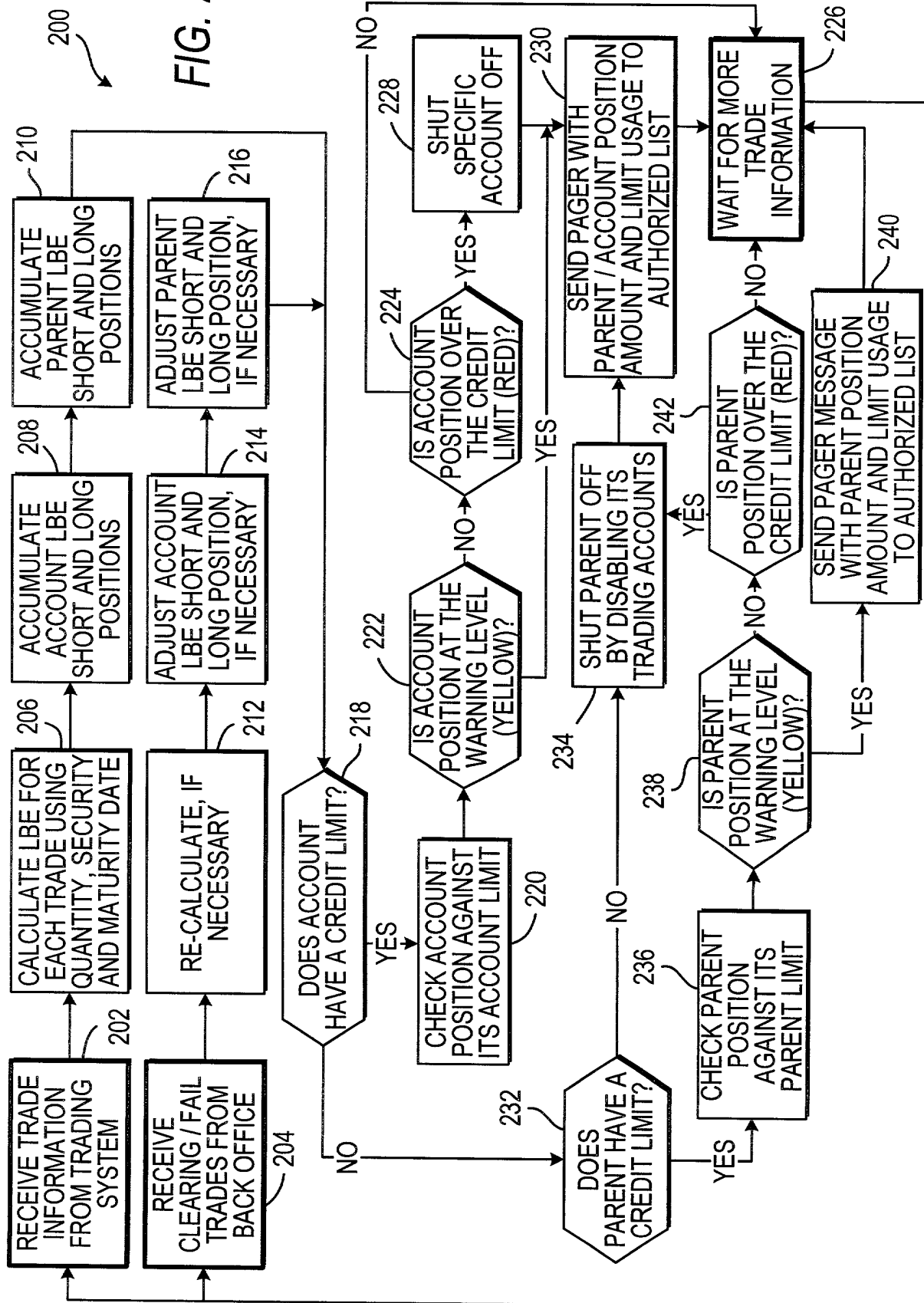


FIG. 1

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FIG. 2



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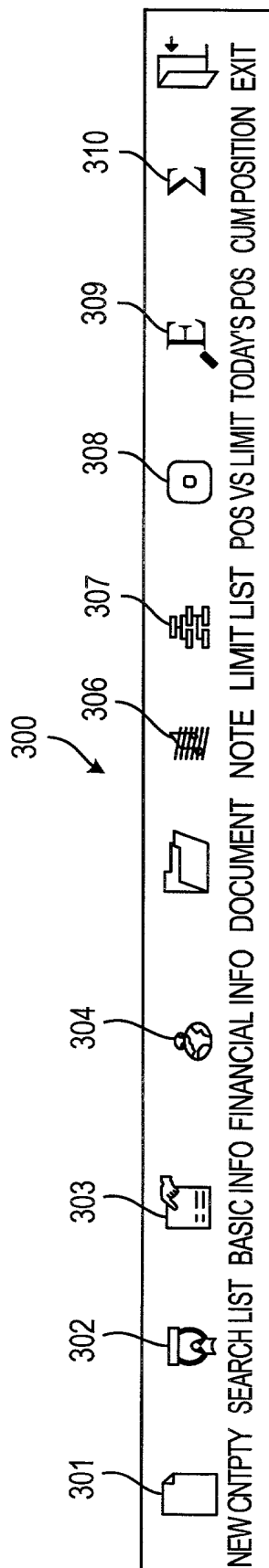


FIG. 3

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400

EDIT BASIC INFORMATION FOR COUNTERPARTY

402

BASIC INFORMATION 422

COUNTERPARTY ID: 1788 CREDIT STATUS: FROZEN 424

COUNTERPARTY NAME: REPUBLIC TRADING

430 SHORT NAME: RETRADE 428 432 426

DATE FORMED: 010/00/0000 RPT CNTRY CDE: TOGO 426

TAX NBR: 123 456 7890 434 NBR BRANCHES: 9

440 TYPE: OPARENT 438 436

444 PARENT NAME: REPUBLIC HOLDINGS

DATE MODIFIED: 08/12/1999 17:01:11 USER MODIFIED: JONES 446

ADDRESS INFORMATION 408

TYPE: CREDIT MAILING

ADDR STREET1: 1 MAIN STREET

ADDR STREET2: SUITE 100

CITY: NEW YORK

STATE: NY POSTAL CODE: 10001

COUNTRY: UNITED STATES

GEO REGION: NORTH AMERICA

CONTACT INFORMATION 404

NAME: JOHN SMITH DEPT: ACCOUNTING

PHONE: 555 - 1234 TITLE: VP

PARENT INFORMATION 406

PARENT ID: 1661 448 CLASSIFICATION: HOLDINGS COMPANY

PARENT NAME: REPUBLIC HOLDINGS 452

STATE: 454 COUNTRY: ITALY 456

GEO.REGION: EUROPE 458

DESCRIPTOR INFORMATION 410

CLASSIFICATION PRIMARY DEALER

LINK TO:

412 SAVE 414 CONTACT 416 ADDRESS 418 DESCRIPTOR 420 CLOSE

FIG. 4

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COUNTERPARTY CONTACT INFORMATION

REPUBLIC TRADING 502

CONTACT INFORMATION 504

FIRST NAME: JOHN 506 MIDDLE INITIAL: [] 508 CONTACT ID: 76 520

LAST NAME: SMITH 510 USER MODIFIED: VCOUGHLI 516

GENDER: [] M OF [] 506 DATE MODIFIED: 12/22/1999 16:05:22 522

DEPT: ACCOUNTING 510

TITLE: VP 512 POSITION: CREDIT MANAGER 516

PHONE: 212 555-1234 514

SAVE 524 DELETE 526 CLOSE 528

FIG. 5

6/21

EDIT DESCRIPTORS FOR COUNTERPARTY: REPUBLIC TRADING [X]

600

602

SELECT DESCRIPTOR FOR CORRESPONDING DESCRIPTOR TYPE

CLASSIFICATION
TRADING PHILOSOPHY
STRUCTURE OF FIRM
MAIN PRODUCT
MEMBERSHIP

604

NASD
MSRB
NYSE
ASE
CBOT
CME
AMEX
LIFFE

606

608

LIST OF CURRENT DESCRIPTORS

DESCRIPTOR INFORMATION

CLASSIFICATION	BROKER DEALER
MEMBERSHIP	CBOT

ROW MANIPULATION

614 SAVE

616 CLOSE

610 REMOVE

612 CLEAR

FIG. 6

700

SELECT COUNTERPARTY

VIEW OPTIONS

☒ COUNTERPARTY LIST

☐ PARENT TREEVIEW

ID	COUNTERPARTY NAME	CLASSIFICATION	CREDIT STATUS	STATE	CNTRY	GEO. REGION	TYPE	RPT COUNTRY	PARENT NAME
1788	REPUBLIC TRADING	PRIMARY DEALER	FROZEN	NY	UNITED STATES	NORTH AMERICA	LE	TOGO	REPUBLIC HOLDING
1791	READY TRADE	PRIMARY DEALER	OPEN	NY	UNITED STATES	NORTH AMERICA	LE		READY ENTERPRISES
845	RESEARCH FINANCIAL	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	LE		
836	REPOS UNLIMITED	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	P		

ROW COUNT 20

RETRIEVE CLEAR

ROW MANIPULATION

SELECT CLOSE

FIG. 7

800

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816

818

810

812

802

804

806

808

814

820

822

FIG. 8

SELECT COUNTERPARTY

VIEW OPTIONS

COUNTERPARTY LIST

PARENT TREEVIEW

PARENT TREEVIEW LIST

LEGAL ENTITY LIST

ADDITIONAL INFORMATION

COUNTERPARTY INFORMATION

COUNTERPARTY ID: 845 CLASSIFICATION: UNCLASSIFIED

COUNTERPARTY NAME: RESEARCH FINANCIAL

STATE: NY COUNTRY: UNITED STATES

GEO.REGION: NORTH AMERICA

LAST FINANCIAL STATEMENT

STATEMENT ID: 65 DATE: 12/22/1999 STATUS: AUDITED

PARENT INFORMATION

PARENT ID: CLASSIFICATION:

PARENT NAME: COUNTRY:

STATE: GEO.REGION:

SELECT

CLOSE

9/21

FINANCIAL STATEMENTS

- REPUBLIC TRADING

900

STATEMENT LIST

ID	DT	STMNT	STATUS	CRNCY	ID	USER	DT MODIFIED
65	12/22/1999	AUDITED	USD	VCOUGHLI	12/22/1999	16:10:30	

906

STATEMENT DETAIL

STATEMENT ID: 65 STMNT DT: 12/22/1999

DT MODIFIED: 12/22/1999 16:10:30 STATUS: AUDITED

USER ID: VCOUGHLI CURRENCY: USD

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
REPO	9,999
SECURITIES LOANED	8,888
BANK LOANS	7,777
PAYABLE TO B/D	7,654
PAYABLE TO CLEARING AGENT	33
	555
LESS TREASURY STOCK	666

904

SHOW ALL

CREATE ACC STMNT

MODIFY ACC STMNT ORDER

908

910

912

914

916

SAVE

MODIFY

NEW

PRINT

CLOSE

FIG. 9

1000

MODIFY FINANCIAL STATEMENT

REPUBLIC TRADING

CURRENT STMNT: 65

1010

STATUS: AUDITED

1006

STMNT DT: 12/22/1999

CRNCY: USD

1008

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
RECEIVABLE FROM CUSTOMER	
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
OTHER	
TOTAL ASSETS	371,018

1012

SAVE

1014

CLOSE

1002

1004

FIG. 10

11/21

1100

NOTE INFORMATION

REPUBLIC TRADING

NOTE TYPE LIST

TYPE: GENERAL

NOTE ID	USER MODIFIED	DATE MODIFIED
#21	JONES	12/10/1999 13:58:34

1106

NOTE

1108

1104

1110

1102

1112

1114

SHOW ALL

DELETE TYPE

CREATE NEW TYPE

1116

1118

1120

1122

1124

1126

SAVE

DELETE

NEW

REFRESH

CLOSE

FIG. 11

12/21

1202 COUNTERPARTY LIMIT LIST

1208 1210

1200

1206

1214 1216

1212

1204

49 COUNTERPARTIES W/O LIMIT: 12/22/1999 16:20:23 [EXPORT] [PRINT]

1788 REPUBLIC TRADING

1791 READY TRADE

OPTIONS

☒ SELECT ALL

☐ UNSELECT ALL

[RETRIEVE]

☒ CNTPTY W/O LIMIT

NAME SEARCH:

LIMIT: COUNTERPARTY LEVEL DATE: 12/22/1999 16:20:23 PAGE 83 OF 151

CNTPT	NAME	SUBCATEGORY	LIMIT	LIMIT TYPE	SHUTOFF	ACC LIMIT	LBE NET LIMIT	LBE GROSS LIMIT	PRIN NET LIMIT	PRIN GROSS LIMIT
845	RESEARCH FINANCIAL	US TREASURY		PRESUMED STLM	<input type="checkbox"/>	<input type="checkbox"/>	1,000,000	5,000,000		
845	RESEARCH FINANCIAL	CX FUTURES		PRESUMED STLM	<input type="checkbox"/>	<input type="checkbox"/>	1,000,000	5,000,000		

ROW COUNT [UPDATE MODE] [SAVE] [ACCOUNT LIMIT] [PRINT] [EXPORT] [CLOSE]

FIG. 12

1306

1300

1304

FIG. 13

FIG. 13

14/21

FIG. 14

ENTER LIMIT

LIMIT SUBCATEGORY: US TREASURY

CURRENT LIMIT TYPE: PRESUMED STLM

PRESUMED STLM

LBE NET LIMIT: 30,000,000 MAX

LBE GROSS LIMIT: 60,000,000 MAX

VAR GROSS LIMIT: 0 MAX

VAR NET LIMIT: 0 MAX

MTM GROSS LIMIT: 0 MAX

MTM NET LIMIT: 1,000,000 MAX

PRINCIPAL GROSS LIMIT: 0 MAX

PRINCIPAL NET LIMIT: 0 MAX

ID CURRENCY: USD

INTAL WARNING LEVEL: 70%

WARNING INTERVAL: 10%

IND LIQUIDATE: YES NO

IND SHUT OFF: YES NO

USER MODIFIED: ADELATOR

DATE MODIFIED: 08/10/1999 16:20:17

SAVE CLOSE

FIG. 15

16/21

POSITION VS LIMIT ACCOUNT DETAIL

READY TRADE

ACCOUNT LEVEL POSITION VS. LIMIT FOR CX FUTURES DATE: 12/22/1999 16:38:41 PAGE 1 OF 1

ACCOUNT #	ACCOUNT NAME	ACTIVE	SHUT OFF	%INIT	QUANTITY	LBE NET POSITION	LBE NET LIMIT	%LBE NET	LBE GROSS POSITION	LBE GROSS LIMIT
TOTAL:					101	-7,795,276			7,952,756	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	<input type="checkbox"/>		50	-3,937,008		0.00	3,937,008	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	<input type="checkbox"/>		51	-3,858,268		0.00	4,015,748	

ROW COUNT

2

PRINT

EXPORT

CLOSE

FIG. 16

17/21

1700

1704

POSITION VS LIMIT

READY TRADE

CX FUTURES: LIMIT VS POSITION TRANSACTIONS DATE: 12/22/1999 16:37:19 PAGE 1 OF 1

ACCOUNT ID	ID SECURITY	NM SECURITY	QUANTITY	LBE	PRINCIPAL	PRICE	MTMVAR	TRADE ID	ORGTR ROOM	TR ROOM	BUY/SELL	STAT	FAIL
TOTAL:			101	-7,795,276	10,000								
9587	8 199906		25	-1,968,504	2,475	99.0000		19991014011692000002	2		SE	HD	ELE
9587	8 199906		25	-1,968,504	2,475	99.0000		19991014011693000002	2		SE	HD	ELE
9589	8 199906		25	-1,968,504	2,475	99.0000		19991014011694000002	2		SE	HD	ELE
9589	8 199906		25	-1,968,504	2,475	99.0000		19991014011695000002	2		SE	HD	ELE
9587	8 199906		1	78,740	100	100.3438		19991014011690000001	2		BU	HD	ELE

4

ROW COUNT

5

PRINT

EXPORT

CLOSE

1706

FIG. 17

1702

18/21

1804

SELECT LIMIT CAT

1806

SUBCAT LIST

1800

REFRESH
☒ AUTOMATIC EVERY 30
☐ MANUAL

1802

OPTIONS
☒ SELECT ALL
☐ UNSELECT ALL

TODAY'S POSITION DATE: 12/22/1999 16:44:21 PAGE 1 OF 18

ID	COUNTERPARTY NAME	LIMIT	QUANTITY	LBE NET POSITION	LBE GROSS POSITION	LBE LONG POS	LBE SHORT POS	VAR NET POSITION
TOTAL:			35,452	0	2,984,722,799	1,492,361,400	1,492,361,400	0
1784	READY TRADE	CX FUTURES	101	-7,795,276	7,952,756	78,740	7,874,016	0

ROW COUNT

1810

ACCOUNT TRANSACTION PRINT CLOSE

FIG. 18

TODAY'S ACCOUNT POSITION

READY TRADE

TODAY'S ACCOUNT POSITION FOR CX FUTURES DATE: 12/22/1999 16:45:24 PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
TOTAL:			101	-7,795,276	7,952,756	78,740	7,874,016	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	51	-3,858,268	4,015,748	78,740	3,937,008	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	50	-3,937,008	3,937,008	0	3,937,008	

ROW COUNT 2

PRINTEXPORTCLOSE

FIG. 19

20/21

2004
2006
2000

CUMULATIVE POSITION

LIMIT CATEGORY

LIMIT SUBCATEGORY

OPTIONS
☒ SELECT ALL
☐ UNSELECT ALL

RETRIEVE

REFRESH
☒ AUTOMATIC EVERY
☐ MANUAL

2002
2008
2010

CUMULATIVE POSITION DATE: 12/22/1999 16:44:58 PAGE 1 OF 86

ID	COUNTERPARTY	LIMIT	QUANTITY	LBE NET	LBE GROSS	LBE LONG	LBE SHORT	VAR NET
CNTPTY	NAME	SUBCATEGORY		POSITION	POSITION	POS	POS	POSITION
TOTAL:			3,802,635,452	181,028,943	5,632,923,827	2,906,976,385	2,725,947,442	0
606	READY TRADE	US TREASURY	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	0

ROW COUNT

FIG. 20

CUMULATIVE ACCOUNT POSITION

READY TRADE

CUMULATIVE ACCOUNT POSITION FOR US TREASURY DATE: 12/22/1999 16:48:09 PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
TOTAL:			45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	
9991	BOB	<input checked="" type="checkbox"/>	15,000,000	-1,562,500	7,812,500	3,125,000	4,687,500	
1031	MIKE	<input checked="" type="checkbox"/>	30,000,000	0	15,625,000	7,812,500	7,812,500	

ROW COUNT 2

PRINTEXPORTCLOSE

FIG. 21